



PATENT APPLICATION  
Docket No. 9898-321  
Client No. SS-18146-US

IFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Ki-Yeon PARK, et al. Conf. No. 8248  
Serial No. 10/713,577 Examiner: Nhu, David  
Filed: November 12, 2003 Art Unit: 2818  
For: CAPACITOR OF SEMICONDUCTOR MEMORY DEVICE THAT HAS  
COMPOSITE  $\text{Al}_2\text{O}_3/\text{HfO}_2$  DIELECTRIC LAYER AND METHOD OF  
MANUFACTURING THE SAME

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.97 (b); or  
(Within three months of filing national application; or date of entry of International application;  
or before mailing date of first office action on the merits; or before the mailing of a first Office  
Action after the filing of a request for continued examination under §1.114; whichever occurs  
last)
- ☒ under 37 CFR 1.97 (c) together with either a:  
☒ Statement under 37 CFR 1.97 (e), or  
☐ a \$180 fee under 37 CFR 1.17 (p); or  
(After mailing of first Office Action, but prior to Notice of Allowance or Final Office Action)
- ☐ under 37 CFR 1.97 (d) together with:  
☐ Statement under 37 CFR 1.97 (e), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17 (p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of

the issue fee)

☒ Applicant(s) submit herewith Form PTO 1449- Information Disclosure Citation together with  
copies of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s)  
may be material to the examination of this application and for which there may be a duty to disclose in accordance  
with 37 CFR 1.56.

☒ A copy of the Limited Recognition Under 37 CFR § 10.9(b)  
It is requested that the information disclosed herein be made of record in this application.

Any deficiency or overpayment should be charged or credited to deposit account number 13-1703. A  
duplicate copy of this sheet is enclosed.

Customer No. 20575

Respectfully submitted,  
MARGER JOHNSON & McCOLLOM, P.C.

Hosoon Lee  
Limited Recognition Under 37 CFR § 10.9(b)

MARGER JOHNSON & McCOLLOM, P.C.  
1030 SW Morrison Street  
Portland, OR 97205  
503-222-3613

I hereby certify that this correspondence is being deposited  
with the United States Postal Service as first class mail in  
an envelope addressed to: Mail Stop Amendment  
Commissioner for Patents, P.O. Box 1450, Alexandria, VA  
22313-1450

Date: December 10, 2004

Li Mei Vermilva

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**INFORMATION DISCLOSURE CITATION  
FORM PTO-1449 (Modified)**

**U.S. PATENT DOCUMENTS**

<u>Exam Init</u>	<u>Ref</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>
_____	_____	5,440,157	Aug. 1995	Imai et al.		
_____	_____	5,641,702	Jun. 1997	Imai et al.		
_____	_____	6,287,965	Sep. 2001	Kang et al.		
_____	_____	6,399,491	Jun. 2002	Jeon et al.		
_____	_____	6,596,583	Jul. 2003	Agarwal et al.		
_____	_____	6,599,794	Jul. 2003	Kiyotoshi et al.		
_____	_____	6,660,631	Dec. 2003	Marsh, EugeneP.		
_____	_____	6,660,660	Dec. 2003	Kaukka et al.		

**INFORMATION DISCLOSURE CITATION  
FORM PTO-1449 (Modified)**

**FOREIGN PATENT DOCUMENTS**

<u>Exam Init</u>	<u>Ref</u>	<u>Publication Number</u>	<u>Publication Date</u>	<u>Country</u>	<u>Name</u>
_____	_____				

**OTHER DOCUMENTS**

<u>Exam Init</u>	<u>Ref</u>	<u>Author, Title, Date, Pertinent Pages, Etc.)</u>
_____	_____	

Examiner: \_\_\_\_\_

Date Considered: \_\_\_\_\_



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STATEMENT ON FILING INFORMATION DISCLOSURE STATEMENT  
(37 CFR 1.97(e))

I, Hosoon Lee, the person signing below state that:  
each item of information contained in the Information Disclosure Statement submitted  
herewith was first cited in a communication from a patent office in a counterpart parent  
application not more than three months prior to the filing of this Statement

no information contained in the Information Disclosure Statement was cited in a  
communication from a patent office in a counterpart of U.S. application and, to the  
knowledge of the person signing this Statement after making reasonable inquiry, was  
known to any individual designated in § 1.56(c) more than three months prior to the filing  
of the Statement.

Applicant respectfully requests consideration of the accompanying Information  
Disclosure Statement.

The person making this Statement is the attorney who signs below on the basis of the  
information in the attorney's file.

Respectfully submitted,  
MARGER JOHNSON & McCOLLOM, P.C.

Hosoon Lee  
Limited Under 37 CFR § 10.9(b)

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Li Mei Vermilya